

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of :  
Steven Kirk Donoho et al. : Group Art Unit Not yet assigned  
Serial No.: Not yet assigned : Examiner: Not Yet Assigned  
Filed: October 15, 2003 :  
For: METHOD AND SYSTEM FOR THE PROTECTION OF BROKER AND INVESTOR  
RELATIONSHIPS, ACCOUNTS AND TRANSACTIONS

**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
United States Patent and Trademark Office  
P.O. Box 1450  
Arlington, VA 22313-1450

Sir:

In accordance with the provisions of 37 C.F.R. § 1.56, 1.97 and 1.98, the attention of the Patent and Trademark Office is hereby directed to the documents listed on the attached form PTO-1449. Copies are provided. It is respectfully requested that the documents be expressly considered and that the documents be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

**AUTHORIZATION**

No fee is required. The Commissioner is hereby authorized to charge any additional fees which may be required for this submission, or credit any overpayment to deposit account no. 50-0436.

Respectfully submitted,  
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Substitute for form 1449A/PTO		<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)		Application Number	Not yet assigned
		Filing Date	October 15, 2003
		First Named Inventor	Steven Kirk Donoho
		Art Unit	Not yet assigned
		Examiner Name	Not yet assigned
Sheet 1 of 2	Attorney Docket Number	124256.0401	

U.S. PATENT DOCUMENTS					
Examiner Initials <sup>*</sup>	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code <sup>2</sup> (if known)			
		us- 2003-0084053A1	05/01/2003	Govrin et al.	
		us- 10/341,073	01/13/2003	Zhang et al.	
		us- 10/379,425	03/04/2003	Donoho et al.	
		us- 10/665,712	09/19/2003	Donoho et al.	
		us- 60/453,124	03/07/200	Donoho et al.	
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FOREIGN PATENT DOCUMENTS						
Examiner Initials <sup>*</sup>	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> (if known)				

Examiner Signature	Date Considered
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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				Application Number	Not yet assigned
				Filing Date	October 15, 2003
				First Named Inventor	Steven Kirk Donoho
				Group Art Unit	Not yet assigned
				Examiner Name	Not yet assigned
				Attorney Docket Number	124256.0401
Sheet	2	of	2		

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Examiner Signature		Date Considered	
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